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To: Workforce Development Board Executive Directors
One-stop Operators and Job Centers
Youth Program Managers/Lead Contacts

From: Connie Colussy
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Bureau of Workforce Programs

Subject: **Workforce Investment Act (WIA) policy Update 04-02 – WIA Follow up Services**
(Revised "Policy" section of 04-02 - WIA Follow up Services policy for clarification)

Purpose

This policy update is to provide clarification on allowable follow-up services for registered customers of the adult, dislocated worker, and youth Workforce Investment Act (WIA) programs. Revisions were made to the purpose, background and policy sections of the initial policy in response to feedback received from field staff at technical assistance and training events.

The initial follow-up service policy was developed in response to the Department of Workforce Development (DWD)/Division of Workforce Solutions (DWS) observations during monitoring of WIA performance standards. In addition, Workforce Development Boards (WDBs) have requested guidance regarding the following:

- If WIA funds can be used on follow-up services once a participant is exited;
- What kinds of activities are allowed;
- How these services are to be recorded in the Automated System Support for Employment and Training (ASSET); and
- How such expenditures should be recorded on the WIA Monthly Financial Status Report.

Policy/Legislation References

- Workforce Investment Act Title IB, Section 129(c)(2)(I); Section 134 (d)(2)(k), Section 134(e)(3)(A).
- 20 CFR part 663; 663.150(b); 663.155; 664.450(a)(b).
- DWS Workforce Program Guide, Part 2. Section II.(o); Section III. (I)(9).

Background

The WIA establishes follow-up services as an allowable activity. The goal of follow-up services for adult, dislocated worker and older youth (19 to 21 years old) customers is to ensure job retention, wage gains, and career progress for individuals who obtain unsubsidized employment. The goal of the follow-up services for younger youth (14 to 18 years old) participants is to enable participants to continue life-long learning and achieve a level of self-sufficiency.

In order to attain desired follow-up services, service providers need to go beyond phone calls and other periodic contacts. It may be beneficial to follow-up with both customers and their employers. Additional suggestions for improving delivery of follow-up services include:

- At intake, as Employment Specialists mutually establish services with a customer, intentionally design follow-up and retention services.
- Consider contracting with Business Consultants or Orientation Specialists to only provide follow-up and job retention services to focus efforts and maximize relationships with employers.
- Avoid telling customers their status such as "exiting." This is an ASSET term and Employment Specialists need to be clear about ending a service versus exiting a customer per ASSET.
- At ASSET exit, record or set up a tickler file on when to check up on a customer, and assist with any employment retention needs.

Policy

The emphasis of follow-up services is job retention and advancement, lifelong learning and self-sufficiency, and provision of additional services as needed to assist program customers. While intensity, frequency, and type of follow-up services are determined at the local level, the Department of Workforce Development recommends that program providers conduct follow-up frequently enough to address on-the-job issues and prevent job loss. Follow-up is critical to ensure successful, long-term employment and directly relate to WIA performance outcomes. The follow-up provided should be based upon individual customer needs as well as the goals and objectives of the local WDB system

Adults and Dislocated Workers:

Follow-up services **must be made available** as appropriate for adults and dislocated workers, who are customers and placed in unsubsidized employment, following the first day of their employment. Review the customers' needs as well as their individual employment plans (IEP) to determine if it is appropriate to provide them with follow-up services. While follow-up services must be made available, not all of the adults and dislocated workers who registered and were placed into unsubsidized employment will need or want such services. Participants who have multiple employment barriers and limited work histories may be in need of significant follow-up services to ensure long-term success in the labor market.

It is expected that training and supportive services provided after entry into unsubsidized employment (post-placement/entered employment) will be limited, and clearly documented in the customer case file and ASSET database. Such post-placement/entered employment training and supportive services may be provided consistent with policies established by the local workforce development board and determined to be necessary on an individual basis by the board.

Older and Younger Youth:

Older youth and younger youth participants **must receive** some form of follow-up services for a minimum of 12 months after they are ASSET exited.

Funding of Follow-up Services

1. WIA funding for adults and dislocated workers follow-up services is an allowable expenditure; and

2. Financial assistance as needs-related payments for employed participants is not an allowable follow-up service, when a customer is in post-placement (entered employment). These payments are restricted to unemployed individuals who have exhausted or do not qualify for unemployment compensation and who need the payments to participate in training.

Appropriate and Allowable Activities

The following guidance is provided to assist program providers in determining what follow-up services would be appropriate and allowable expenditures. Follow-up services may be provided beyond 12 months at the discretion of the local WDB. While follow-up services must be made available, not all participants will need or want such services. The scope and intensity of appropriate follow-up services may vary among different participants and should be consistent with the individual service strategy for each participant.

All other WIA activities that were allowable prior to ASSET exit are allowable after exit. When individuals are ASSET exited (whether soft exit due to non activity, or hard exit due to customer becoming employed or customer leaving and not being employed) from the ASSET database it does not mean they are exited from the WIA program.

It is allowable for WDB staff to do follow-up such as contacting an employer for a customer, especially in cases where their current contracts with providers has a duration less than 12 months after customers are ASSET exit. However, to ensure compliance with federal direct services regulations, WDBs need to use contractors when providing customers with certain follow-up services such as those provided for a formal training course.

Sample activities are listed below for the adult and dislocated worker programs and the youth programs.

Adult and Dislocated Worker Programs Follow-up Services:

- Additional career planning and counseling (for example, labor market information, demand occupations, job search assistance, entrepreneurial training, career counseling, resume development, etc.);
- Employer contact, including assistance with work-related problems (for example, on-site visits, information on Work Opportunity Tax Credit, bonding, workplace training instruction, post-employment (entered employment) training on interim services or a limited basis, incumbent worker services, English as a Second Language, etc.);
- Information about additional educational opportunities (for example, referral to WI Technical College System or other institutions, General Educational Development Test, WIA funded and other educational opportunities, etc.);
- Peer Support Groups (for example, group counseling, workshops, etc.); and
- Supportive Services information (for example, childcare, housing, transportation, vocational rehabilitation assistance, work clothing, etc.).

Youth Programs Follow-up Services - Allowable follow-up services are among any one of the ten required youth program elements, which include:

- Adult Mentoring (for example, job shadowing, tutoring, etc);
- Assistance in securing better paying jobs, career development, and further education (for example, labor market information, career counseling, job search assistance, work experience programs, etc.);
- Employer contact (for example, assistance in addressing work-related problems);
- Job Club or another type of continuing post placement activity to keep youth engaged and help identify retention problems;

- Leadership development opportunities that encourage responsibility, employability, and other positive social behaviors. (For example, exposure to post secondary educational opportunities; community and service learning projects; peer-centered activities, including peer mentoring and tutoring; organizational and team work training, including team leadership training; training in decision-making, including determining priorities; and citizenship training including life skills training such as parenting, work behavior training and budgeting of resources.);
- Supportive Services activities (for example, linkages to community services; referrals to medical services; and assistance with childcare and dependent care, housing, transportation and/or uniforms or other appropriate work attire and work-related tools, including eye glasses and protective eye gear.)
- Tracking progress in employment after training (for example, regularly-scheduled follow up, including in-person sessions); and
- Work-related Peer Support Group (for example, workshops, English as a Second Language, literacy, etc.).

Reporting Follow Up Services in ASSET

Follow-up services are to be recorded in ASSET system under the “Manage Follow-ups” function. Program customers must be exited in ASSET prior to follow-up services being recorded.

To report follow-up services in ASSET:

1. Select “Manage Follow-Ups”;
2. Go to “Follow-up Services”;
3. Click, “Add Follow-up Service” button;
4. Enter the appropriate information and save the record.

For further instruction on how to enter and update follow-up services, see the *ASSET User’s Guide* at <http://www.dwd.state.wi.us/dws/manuals/asset/>. The *User’s Guide* is available on-line, simply by selecting “Help” from the ASSET menu selection list.

Under the policy, the key date for initiating Follow-Up Services is the exit date. To assist local agencies in determining which individuals have been exited, a report was created in the Job Center Systems Data Warehouse that gives a worker an opportunity to select a group of individuals by exit date. This report - JCSDW Report #38 - WIA Title 1 Exits (date range prompt) - allows a worker to find all exiters for a specific period. For example, if the WDB requires a final follow-up for everyone who exited in November 2002, then simply enter date parameters of 11/01/2002 through 11/30/2002 to get everyone who needs to have a follow-Up done before the end of November 2003.

WIA Monthly Financial Status Reporting

Follow-up service costs are to be considered current period program expenditures and should be reported on a WDA’s WIA Monthly Financial Status Report.

Action Required

The WDBs and their WIA adult, dislocated worker and youth program service providers are to apply this policy when a customer has been exited from ASSET. Prior to exiting customers from WIA programs, program service providers should ensure that customers have received all employment attainment and retention, and continued learning services that are appropriate for their individual needs.

Questions and Technical Assistance

Should you have questions regarding this policy, please contact the Local Program Liaison (LPL) assigned to your area.